

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER IN-5513	U.S. APPLICATION NO. (IF KNOWN SEE 37 CFR 15) 09/914937	
INTERNATIONAL APPLICATION NO. PCT/EP00/01932	INTERNATIONAL FILING DATE 6 March 2000 (06.03.00)	PRIORITY DATE CLAIMED 06. March 1999 (06.03.99)

TITLE OF INVENTION: **SOL-GEL COATING FOR SINGLE-LAYER OR MULTI-LAYER VARNISHES**APPLICATION(S) FOR DO/EO/US: **Peter BETZ, Wilfried STÜBBE, Horst HINTZE-BRÜNING, Heinz-Peter RINK**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

A copy of the cover sheet from the PCT Published Application
A copy of the Priority Document

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **ET115236178 US** addressed to the Commissioner for Patents, Washington, D.C. 20231 on September 5, 2001.



Marjorie Ellis

U.S. APPLICATION NO. 09/914937		INTERNATIONAL APPLICATION NO. PCT/EP00/01932		ATTORNEY'S DOCKET NUMBER IN-5513	
17. <input checked="" type="checkbox"/> The following fees are submitted				CALCULATIONS PTO USE ONLY	
Basic National Fe (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....				\$970.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....				\$860.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO.....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$ 96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00	
Claims	Number Filed	Number Extra	Rate		
Total Claims	33 - 20 =	13	X \$18.00	\$234.00	
Independent claims	02- 03 =	0	X \$80.00	\$	
Multiple dependent claims(s) (if applicable)			+ \$270.00	\$	
TOTAL OF ABOVE CALCULATION =				\$1,224.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1,224.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$1,224.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$1,224.00	
				Amount to be: refunded	\$
				Charged	\$1,224.00
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>23-3425</u> in the amount of <u>\$1,224.00</u> to cover the above fees A triplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3425. A triplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: BASF CORPORATION Patent Department 26701 Telegraph Road Southfield, Michigan 48034-2442 (248) 948-2355			<div>Michel F. Morgan</div> <div>SIGNATURE</div> <div>Michel F. Morgan</div> <div>Name</div> <div>42,906</div> <div>REGISTRATION NUMBER</div> <div>Customer No. 26922</div>		

PATENT

(Practitioner's Docket No. IN- 5513)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Peter BETZ et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/01932 filed 06. March 2000.

Group Art Unit: Not Assigned

Filed: September 5, 2001

Examiner: Not Assigned

For: SOL-GEL COATING FOR SINGLE-LAYER OR MULTI-LAYER VARNISHES
Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET115236178US Date of Deposit September 5, 2001

I hereby certify that the following attached paper or fee

<input checked="" type="checkbox"/>	German Application PCT/EP00/01932
Specification on	<input type="text" value="45"/> pages;
the abstract on	<input type="text" value="07"/> pages;
	claims on
	page(s);
	drawings on
	page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN- 5513)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Peter BETZ et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/01932 filed 06. March 2000.

Group Art Unit: Not Assigned

Filed: September 5, 2001

Examiner: Not Assigned

For: SOL-GEL COATING FOR SINGLE-LAYER OR MULTI-LAYER VARNISHES
Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET115236178US

Date of Deposit

September 5, 2001

I hereby certify that the following attached paper or fee

☒ Cover page of Priority Document

☐ 01 Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) **be signed** and (2) **fully identify and be securely attached to the paper or fee it accompanies**. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.